

**GUIDELINES SUPPORTING
THE MASSACHUSETTS DIVISION OF ENERGY RESOURCES'
RESIDENTIAL ENERGY CONSERVATION SERVICE
REGULATION 225 CMR 4.00¹**

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The following guidelines support the Massachusetts regulation 225 CMR 4.00. (§4.01-4.16), as promulgated by the Division of Energy Resources (DOER) pursuant to M.G.L. c. 25A, § 11A. c. 164 App. §§ 2-1 to 2-10 and St. 1997 c. 164. The guidelines include three main sections, as follows:

- 1 - Residential Conservation Service Program;
- 2 - Filing, Review, Content of the Coalition Action Plan;
- 3 - Coalition Action Plan Outline

All sections of these guidelines are applicable to the Program. Home heating suppliers may qualify by contributing to program costs as described in 225 CMR 4.15.

DOER may change or modify these guidelines on a periodic basis, as deemed necessary, but not more frequently than on an annual basis. DOER will notify interested parties of any changes or modifications to these guidelines and shall provide sufficient opportunity for interested parties to review and comment on such proposed changes or modifications.

1 RESIDENTIAL CONSERVATION SERVICE PROGRAM

1.1 Program Redesign

DOER developed new regulations to improve the Residential Conservation Service (RCS) program by:

- 1) Making it easier and more convenient for residential customers to receive information, services, and products that relate to energy efficiency and renewable energy;
- 2) Incorporating national standards for vendors who offer this service;
- 3) Measuring the program's success in terms of energy savings and renewable energy production;
- 4) Offering financial incentives to overcome market barriers for residential energy efficiency; and,
- 5) Providing consumer protection through a complaint resolution process.

All residential customer have an opportunity to participate in the program. At a minimum they are notified about the program with an annual announcement from their program administrator.

These guiding principals will be used by the Program Administrators as the basis for developing and implementing the Coalition Action Plan (CAP), as required in 225 CMR 4.06. DOER shall review the proposed plan to determine whether or not it fulfills the Program Requirements of the State Plan in the ensuing program year.

1.2 RCS Program Outcome

1.2.1 Increase Implementation

Increased implementation provides economic and environmental benefits to citizens of Massachusetts. In the first calendar year, 2002, of the CAP, the target will be 1,000 Btus saved per RCS dollar spent.²

1.2.2 Provide One-Stop Shopping.

The goal of Program Publicity, Appropriate Services, Audits, and Program Measure Implementation is that Program Administrators and Program Vendors present the RCS program to Residential Customers as a one-stop shopping experience for all relevant energy efficiency, demand-side management and renewable energy information, services and products. This one-stop shopping experience must be available at Tier One (Appropriate Services) and at Tier Two (Audits, and Program Measure Implementation).

² A doubling of findings, 500 Btus/ECS \$, from Energy Conservation Service Evaluation Report, Haigler Bailly Consulting, Inc. 1997.

1.2.3 Create a Competitive Market for Energy Efficiency and Renewable Energy Services and Products
DOER will collect on a periodic³ basis, year-to-date information about Tier One and Tier Two activities in an electronic format from Program Administrators. Program Administrators must jointly agree to provide the information described below as either raw data or a summarized data.
See Appendix C for the format of raw data.

1.2.3.1 Tier One Data

The Tier One data must include the number of phone calls, the reason for the phone calls, and the action taken. The action taken includes referrals to Tier Two Services.

1.2.3.2 Tier Two Data

Tier Two data must include information about characteristics of household energy use, recommended measures, proposals for fuel neutral rewards and other incentives, implemented measures, total cost of implemented measures, total incentives, and savings.

1.3 Program Publicity

The success of the Program depends upon strategic and effective statewide marketing of Appropriate Services. In order to support energy efficiency and renewable energy activities, the public needs to understand energy use, the benefits of using energy efficiently, and opportunities for using renewable energy. Marketing home performance is the beginning of customer education. Knowing that information and services are available to improve the comfort, health, safety, and durability of a home will encourage customers to take part in the program.

A variety of strategies will be used to market the RCS Program in addition to the promotion of energy efficiency and renewable energy.

1.4 Appropriate Services (Tier One)

The goal of Tier One, Appropriate Services, is to provide customers with information about energy efficiency, renewable energy, and home performance such that the entire RCS program becomes cost-effective. Tier One service also may qualify customers for auditing and implementation services delivered through Tier Two. A key component to Tier One is the staff that answers calls to the statewide 800-number. They must have broad knowledge about opportunities for residential energy efficiency and renewable energy measures and programs.

1.4.1 Statewide Toll-Free Number

The toll-free number held by Program Administrators must be implemented with appropriate technology such that customers using this number have their needs relating to this program met without making another phone call.

1.4.2 Personnel Qualifications

Providers of Appropriate Services must have call-center staff who have received training in residential energy efficiency and renewable energy. Staff must also include people who are capable of answering specific technical questions.

1.4.3 Information Resources

In addition to the knowledge-base of the call-center staff, Program Administrators and Vendors must have available to callers a sufficient amount of print, internet, and phone-referral information so that callers may be able to have their questions answered and their problems solved without having an on-site audit.

1.4.4 Protocol for Making for Tier Two Referrals

Program Administrators and Vendors must develop a protocol for referring customers to Tier Two.

³ At a minimum reporting will be done quarterly. However, reporting may be as frequent as monthly.

The most important consideration of this protocol is that referred customers have the expectation that their home's performance may have opportunities for improvements and that they will have to pay for those improvements.

This protocol may include providing customers with a benchmark of home performance.

1.5 Audit and Program Measure Implementation (Tier Two)

The goal of Tier Two, Audit and Program Measure Implementation, is to deliver on-site services to residential customers with one-stop shopping convenience and to motivate the customer to implement recommended energy efficiency and renewable energy measures. The Audit is the opportunity to deliver all in-home energy efficiency and demand-side management programs for which the customer qualifies.

1.5.1 Program Vendors

In accordance with the New England HERS Alliance's Training and Certification Standards, Vendors must have available at least one person who is a HERS rater at the certification level.⁴

1.5.2 Audit Software

All audits previously approved under the ECS program regulations may be used in the RCS program. In addition, a HERS building analysis qualifies. DOER will be working on an approval process to reduce the burden for program vendors to introduce new audit software. For example, existing software approved by Program Administrators for delivery of utility demand-side management services could be considered. However, using audit software at the time of delivering in-home services is optional. Program Administrators and Program Vendors need to determine whether a software generated audit report should always be a requirement.

1.5.3 Deemed Savings

In order to provide consumer confidence and to remove a market barrier for new RCS program vendors, DOER will develop a range of deemed savings for energy efficiency measures and deemed energy production for renewable energy measures.

1.5.4 Fuel Neutral Rewards

Three groups of residential customers may need different fuel neutral rewards in order to overcome their financial market barriers for efficiency improvements and renewable energy investment. These groups are:

- 1) Homeowners
- 2) Tenants / landlords
- 3) Residents of economic development areas

1.5.4.1 Reward Type

Fuel neutral rewards may include but are not limited to cash rebate, financing, rate buy-down, equipment leasing, and extended warrantee.

1.5.4.2 Measure Eligibility

Measures eligible for fuel neutral rewards must be cost-effective⁵.

1.5.5 Other Products and Services

Program Administrators and Program Vendors must agree on other products and services that the auditor may deliver at the time of the audit or as a follow up to the audit. It is the intent of the program, however,

⁴ Beginning in year 2 all new auditors must be HERS raters at the Energy Specialist level. DOER may approve, at any time, other training programs that provide technical auditing proficiencies equivalent to Energy Specialist.

⁵ Cost-effectiveness of measures is referenced in the DTE's 98-100 proposed guidelines. DOER understands that this may not be accomplished immediately. Moreover, the statutory criterion for evaluating the RCS program costs is reasonableness.

to allow vendors to incorporate related energy services as part of the package of measures as long as they are consistent with the overall intent of providing comprehensive whole house energy services to residential customers.

1.5.6 Inspections

Program Administrators must provide a minimum of 5% inspections of buildings with program measures installed using a fuel neutral reward. These inspections may include homes of customers who request an independent inspection⁶, a random sample of homes, or homes selected as part of an evaluation. Customers who install measures on their own after receiving an audit report may also request an inspection by contacting the Tier Two provider directly or via the toll free number.

1.5.7 Complaint Resolution

Customers with complaints about the program have a right to a customer satisfaction process.

1.6 Evaluations

Program Administrators and Vendors will support periodic process, market research and / or impact evaluations.

2 FILING, REVIEW, CONTENT OF THE COALITION ACTION PLAN (CAP)

2.1 CAP Filing

Pursuant to 225 CMR 4.06(1), Program Administrators shall file jointly an annual CAP with DOER for the ensuing program year. The Program Administrators will file the CAP jointly such that the program offered to the residential customers of Massachusetts is consistent to the greatest extent practicable. If Program Administrators wish to modify the CAP, they must inform DOER. If the guidelines change, Program Administrators must modify the CAP accordingly. The CAP will be filed with DOER in accordance with a schedule to be determined by DOER.

If Program Administrators have more detailed information about a feature of the program, they may include this information in Endnotes.

Program Administrators will file a copy of the CAP. Each Administrator will include Appendices for detailed budgets and other administrator specific information. If Program Administrators have program offerings that are not described in the CAP, they should include this information in an Addendum.

2.2 CAP Review

DOER will review and strive to resolve issues in the CAP within 30 days of receipt and notify the Coalition within said 30 days if the CAP sufficiently fulfills the Program Requirements of the State Plan, or not. DOER may approve the CAP in whole or in part

2.3 CAP Content

What follows is a description of the CAP. Section 3 provides the outline for the CAP.

2.3.1 Introduction

Provide an overview of the process Program Administrators engaged in for developing the CAP. Include names of other stakeholders involved, as well as utilities/municipalities and contact names of Program Administrators who sign as agreeing to the CAP.

2.3.2 Budget

In this section, provide budget summaries for Planning and Administration (Internal Administrative Costs and DOER Assessment), Marketing (Program Publicity and Appropriate Services), Customer Incentives

⁶ Program Administrators and Vendors may want to consider offering this independent inspection through the statewide 800-number required in Tier One.

(Fuel Neutral Rewards, Energy Efficiency and Demand-side Management Incentives), Program Implementation (Audits and Inspections), Evaluation & Market Research, and Performance Incentive. The detailed budget requirement in the CAP allows Program Administrators to show a thoughtful presentation, on a prospective basis, the estimated cost of key program components and the individual or organization receiving funds for that program component. DOER expects the budget for the subsequent program year would reflect, in part, the knowledge gained from an administrative accounting of these expenses.

The schedule for budget filings is subject to 220 CMR 7.0.

See Appendix A for the format of budget.

2.3.2.1 Planning and Administration Budget

2.3.2.1.1 Internal Company Administration

Program Administrator's projection of costs associated with administering the RCS program.

2.3.2.1.2 Assessment Budget and Apportionment Formula

Each administrator must provide two pieces of information about their residential customers from FERC or DTE filing made during each program year. The information is number of residential customers and residential customers' energy usage. DOER realizes that this information may not be available until after the first quarter of the calendar year.

See Appendix B for the format of the residential customer information

Apportionment Formula⁷

$\% \text{ Contribution} = ((\# \text{ ARC} / \# \text{ TRC}) + (\text{AR-MMBtus} / \text{TR-MMBtus})) / 2$

ARC = Administrator Residential Customers

TRC = Total Residential Customers

AR-MMBtus = Administrator's Residential MMBtus

TR-MMBtus = Total Residential MMBtus

2.3.2.2 Marketing Budget

2.3.2.2.1 Program Publicity

Outreach includes Coalition funded statewide marketing campaigns, DTE-required program announcements, Administrator-Vendor coop advertising, and Administrator-specific advertising.

2.3.2.2.2 Appropriate Services

Program Administrators will share the certain costs associated with delivering Appropriate Services. These costs include development and maintenance of statewide 800-number, educational material distributed as part of Tier 1 services, other telephone service costs and personnel costs for telephone services.

2.3.2.3 Administrators should use the formula for apportioning the DOER assessment when calculating their contribution for establishing and maintaining the statewide 800-number and for producing and distributing, coalition-based educational material distributed as part of Tier One services. Customer Incentive

Program Administrator must provide a projection of costs for fuel neutral rewards, energy efficiency incentives, and demand-side management incentives provided through the RCS program.

2.3.2.4 Program Implementation

Program Administrators must provide a projection of costs associated with providing audits and inspections.

⁷ In order to account for the difference in price difference of natural gas and electricity, DOER multiplies electric MMBtus by a fuel value adjustment charge of 3.

2.3.2.5 Evaluation and Market Research

DOER will hire an evaluation contractor under a multiple year contract for the RCS program. Program Administrators will need to budget for this evaluation expense.

2.3.2.6 Performance Incentive

At a minimum, Performance Incentives will be available for Program Administrators representing electric investor-owned utilities.

2.3.3 Program Publicity

In this section, describe an appropriate marketing plan that reaches all customer segments, including homeowners, tenants, landlords, and low to moderate-income residents. The plan must include a joint statewide marketing campaign. Marketing efforts must have a geographical distribution such that moderate-income residents⁸, tenants (to overcome the split incentive), and homeowners are made aware of this program. The plan must have sufficient detail such that it addresses audience, message, media, schedule, and cost. Systems must be in place to measure the success of marketing efforts. If Program Administrators have territory-specific marketing plans, they may include this information in their addendum to the CAP.

2.3.4 Appropriate Services (Tier One)

This section will provide information about the how Program Vendors and Administrators provide statewide information about the program to customers who call the toll-free number, how some of these customers will qualify for an on-site audit, and how this activity is reported to DOER.

2.3.4.1 Statewide Toll-Free Number

Program Administrators must provide a description of how the toll-free number operates so as to serve customers on a statewide basis with one-stop shopping.

2.3.4.2 Personnel Qualifications

Each Program Vendor and Administrator must provide a summary of the minimum qualifications required for personnel that provide Appropriate Services, as well as additional qualifications for technical specialists. Include in the summary the number of personnel qualified to provide general and technical information.

Please indicate whether these are Program Administrator personnel or Vendor personnel and an estimate of the number of full-time equivalents.

2.3.4.3 Information Resource

Please provide a description of other materials available to educate customers calling the toll-free number.

Flexibility is very important for providing Appropriate Services. However, the Coalition must decide on the type and cost of information that will be available to customers in the ensuing year. This information may change and the Coalition may decide to provide additional information during the program year. The CAP must include those information resources that Program Administrators, at a minimum, will provide and share costs.

If Program Administrators have territory-specific information resources, they may include this in their addendum to the CAP.

2.3.4.4 Protocol for Providing Customers with Tier One Services and Making Tier Two Referrals

Describe the protocol for providing Tier One services and making Tier Two referrals.

⁸ Low-income customers applying to this program will be referred to the appropriate low-income program provider.

2.3.4.5 *Reporting Tier One Activities*

For DOER reporting requirements, Program Administrators must submit on a periodic basis year-to-date information that is a record of Tier One activities. General categories for this information are response to marketing, information resource distribution and Tier Two referrals.

Describe how Program administrators will provide this information.

2.3.5 Audit and Program Measure Implementation (Tier Two)

2.3.5.1 *This section will provide information about the RCS audit, integration with other residential in-home energy efficiency programs, and implementation. Audit and Program Measure Implementation Report*

For DOER reporting requirements, Program Administrators must provide on a periodic basis year-to-date information that is a record of Tier Two activities. General categories for this information are quality of Tier two referrals, the comprehensiveness of the audit, the implementation of measures that qualify for fuel neutral rewards, energy efficiency incentives, and demand-side management incentives and the savings from this implementation.

Describe how Program administrators will provide this information

2.3.5.2 *Integration with Program Administrator's Energy Efficiency Programs*

Provide a table that summarizes Program Administrators' residential in-home energy efficiency and demand-side manage programs. Also in this section, describe how the Coalition plans to provide one-stop shopping to customers.

2.3.5.3 *Competition for Delivery of Services*

Provide a strategy for opening the market for qualified vendors to deliver Program Administrator's residential in-home energy efficiency services.

The CAP may state that in the first year of the program DOER will have a technical session to discuss how to open the program to more vendors.

2.3.5.4 *Program Measure Implementation*

This section will provide information about fuel-neutral rewards, program measure implementation, other products and services, inspections, and eligible program vendors.

2.3.5.4.1 Fuel Neutral Reward

Provide information about qualifications for fuel neutral rewards.

2.3.5.4.2 Measure Description

Complete the following table, and show by customer segment the eligible measure, the associated fuel neutral reward by type and amount, and the standard for the measure⁹. Measures and reward amounts may be listed as individual measures and/or packages of measures. The CAP must be clear on what the reward may be used for (current technology as well as emerging technologies). Municipalities may provide a separate table for this section.

Customer Segment	Measure (includes other products & services)	Type of Reward	Amount of Reward	Measure Standard	Installed at Time of Audit
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⁹ Reference the standard for installing this measure and include the complete standard in the End Notes, Measure Standards.

2.3.5.5 Other Products and Services

Describe other products and services that are not program measures that Program Vendors plan to deliver at the time of the audit.

2.3.5.6 Inspections

Describe the plan for inspecting work done in the home and the frequency of inspections.

2.3.5.7 Complaint Resolution

Describe the process for resolving complaints with dissatisfied customers.

2.3.5.8 Eligible Contractors

Provide a list of eligible Program Vendors who install program measures.

2.3.6 Evaluation

Describe how the first year of the program should be evaluated.

2.3.7 Other Program Outcomes.

2.3.7.1 Lost Opportunity

Describe a strategy for capturing lost opportunities for energy efficient home improvements through, but not limited to, energy efficient mortgages and home improvement loans.

2.3.7.2 Competitive Market

Describe a vision for how the Residential Conservation Service Program might serve as a catalyst that helps to promote market transformation.

3 COALITION ACTION PLAN

3.1 General Format

The Program Administrators will submit a hard copy and an electronic copy of the CAP. Section 3.2 provides the outline for the CAP.

Program Administrators may wish to provide greater details about a particular aspect of the CAP than would be appropriate for the main body of the CAP. Program Administrators may provide these details in the Endnotes section.

Each Program Administrator needs to submit a budget as well as information about the number of their residential customers and the energy use of their residential customers. This information must be in print and in a separate electronic document.

If a Program Administrator has program features that are not described in the CAP, they must include them in an Addendum to the CAP that they file.

3.2 Outline

I. Introduction

II. Budget

A. Planning and Administration Budget

1. Internal Company Administration

2. Assessment Budget

B. Marketing Budget

1. Program Publicity

2. Appropriate Services

C. Customer Incentive

D. Program Implementation

- E. Evaluation and Market Research
- F. Performance Incentive
- III. Program Publicity
- IV. Appropriate Services (Tier One)
 - A. Toll-Free Number
 - B. Personnel Qualifications
 - C. Information Resource
 - D. Protocol for Providing Customers with Tier One Services and Making Tier Two Referrals
 - E. Reporting Tier One Activities
- V. Audit and Program Measure Implementation (Tier Two)
 - A. Audit and Program Measure Implementation Report
 - B. Integration with Program Administrator's Energy Efficiency Programs
 - C. Competition for Delivery of Services
 - D. Program Measure Implementation
 - 1. Fuel Neutral Reward
 - 2. Measure Description
 - E. Other Products and Services
 - F. Inspections
 - G. Complaint Resolution
 - H. Eligible Vendors
- VI. Evaluation
- VII. Other Program Outcomes
 - A. Lost Opportunity
 - B. Competitive Market

3.3 End Notes

3.3.1 Measure Standards

3.4 Appendices

3.4.1 Budget

3.4.2 Residential Customer Information

3.4.3 Tier One Personnel Qualifications

3.4.4 Indicate whether your staff and / or a Program Vendor provide Tier One. Indicate the full-time equivalent for this staff.

3.5 Addendum

3.5.1 Territory-specific marketing plans

3.5.2 Program Administrator-specific information resources

4 APPENDICES

4.1 Appendix A – Budget

At the time of issuing these Guidelines DOER and Program Administrators are still discussing the information requirements for the Program Budget. Since the first budget filing will not be until November 1, 2001, the resolution of this issue will occur after the July 1, 2001 filing of the Coalition Action Plan.

4.2 Appendix B – Residential Customer Information

For the purposes of this edition of the Guidelines, Program Administrators must provide residential customer information for 1999 and 2000.

Program Administrators will provide this information as database records in a comma delimited format. The following outline lists the data field and the information and its format for each field.

- I. FERC / DTE Year
 - A. 1999
 - B. 2000
- II. Administrator Type
 - A. IOU Electric
 - B. IOU Gas
 - C. Municipal Electric
 - D. Municipal Gas
 - E. Municipal Aggregator
- III. Official Program Administrator Name
- IV. Number of Residential Customers
- V. Fuel Units
 - A. MWH
 - B. MMBTU
- VI. Fuel Unit Quantity

4.3 Appendix C – Raw Data Format

DOER developed these seven data tables with the help of Program Administrators and Program Vendors' information technology staff.

Intake Table			
Remark:			
Field	Format	Standard	Comment
Primary Key ID	XXX#####	XXX = vendor ID; ##### = unique vendor customer ID	current vendors (CSG, DMC, CET)
Intake Date	mm/dd/yyyy		
Source Code	string	vendor specific / additional descriptions possible	DOER will standardize reported data
Action Code	string	vendor specific / additional descriptions possible	DOER will standardize reported data
Electric Utility	string	vendor to provide DOER with table	DOER will standardize reported data
Gas Utility	string	vendor to provide DOER with table	DOER will standardize reported data
Street Number		USPS Address Standard	
Street Direction		USPS Address Standard	
Street Name		USPS Address Standard	
Street Type		USPS Address Standard	
Building unit		USPS Address Standard	
Unit Designation		USPS Address Standard	
City / Town		USPS Address Standard	
State		USPS Address Standard	
Zipcode	#####	USPS Address Standard	DOER will shorten

Customer Table			
Remark:			
Field	Format	Standard	Comment
Primary Key ID	XXX#####	XXX = vendor ID; ##### = unique vendor	current vendors (CSG, DMC,

		customer ID	CET)
Intake Date	mm/dd/yyyy		
Last Name			
First Name			
Home Phone	#####	10 digits no formatting	

Deactivation Table			
Remark:			
Field	Format	Standard	Comment
Primary Key ID	XXX#####	XXX = vendor ID; ##### = unique vendor customer ID	current vendors (CSG, DMC, CET)
Deactivation Date	mm/dd/yyyy		will give a realistic backlog

Audit Table			
Remark:			
Field	Format	Standard	Comment
Primary Key ID	XXX#####	XXX = vendor ID; ##### = unique vendor customer ID	current vendors (CSG, DMC, CET)
Audit Date	mm/dd/yyyy		
High Level Measure	string	vendor to provide DOER with table	DOER will standardize reported data
Annual Savings	number	dollars	
Contractor Cost	number	dollars	

House Characteristic Table			
Remark:			
Field	Format	Standard	Comment
Primary Key ID	XXX#####	XXX = vendor ID; ##### = unique vendor customer ID	current vendors (CSG, DMC, CET)
Audit Date	mm/dd/yyyy		
Heated Square Feet	number	living space	How do vendors handle unheated basements?
Heating Fuel Units	number	gallons(oil, propane, kerosene); therms (gas); cords (wood); electric (kWh)	What about wood pellets? / unit cost may resolve issue
Annual Units	number	Heating only; do not include dhw	
# Occupants	number	human only	record with primary fuel
Unit Cost Heating Fuel	number		

Reward Table			
Remark:			
Field	Format	Standard	Comment
Primary Key ID	XXX#####	XXX = vendor ID; ##### = unique vendor customer ID	current vendors (CSG, DMC, CET)
Action Date	mm/dd/yyyy		
Action	string	two inputs: proposal / installation	
Incentive Program	string	RCS / Electric Efficiency / Gas DSM	

Incentive Type	string	Cash / Loan Buy-Down / Other	
Customer Cost	number		
Incentive Amount	number		

Installation Detail Table			
Remark:			
Field	Format	Standard	Comment
Primary Key ID	XXX#####	XXX = vendor ID; ##### = unique vendor customer ID	current vendors (CSG, DMC, CET)
Install Date			
Measure Detail		vendor provide DOER with part table	DOER will standardize reported data
Measure Quantity			